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26 Attorneys for Apex Clearing Corp.
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16 UNITED STATES DISTRICT COURT
17 NORTHERN DISTRICT OF CALIFORNIA
18 SAN FRANCISCO DIVISION

19
20 SABRINA CLAPP and DENISE REDFIELD,
21 individually and on behalf of others similarly
22 situated,

23 Plaintiffs, Case No. 3:21-cv-00896-VC

24 v.
25 DEFENDANT APEX CLEARING
26 CORPORATION'S CORPORATE
27 DISCLOSURE STATEMENT

28 ALLY FINANCIAL INC.;
29 ALPACA SECURITIES LLC;
30 CASH APP INVESTING LLC;
31 SQUARE INC.;
32 DOUGH LLC;
33 MORGAN STANLEY SMITH BARNEY
34 LLC;
35 E*TRADE SECURITIES LLC;
36 E*TRADE FINANCIAL CORPORATION;

1 E*TRADE FINANCIAL HOLDINGS, LLC;
 2 ETORO USA SECURITIES, INC.;
 3 FREETRADE, LTD.;
 4 INTERACTIVE BROKERS LLC;
 5 M1 FINANCE, LLC;
 6 OPEN TO THE PUBLIC INVESTING, INC.;
 7 ROBINHOOD FINANCIAL, LLC;
 8 ROBINHOOD MARKETS, INC.;
 9 ROBINHOOD SECURITIES, LLC;
 10 IG GROUP HOLDINGS PLC;
 11 TASTYWORKS, INC.;
 12 TD AMERITRADE, INC.;
 13 THE CHARLES SCHWAB CORPORATION;
 14 CHARLES SCHWAB & CO. INC.;
 15 FF TRADE REPUBLIC GROWTH, LLC;
 16 TRADING 212 LTD.;
 17 TRADING 212 UK LTD.;
 18 WEBULL FINANCIAL LLC;
 19 FUMI HOLDINGS, INC.;
 20 STASH FINANCIAL, INC.;
 21 BARCLAYS BANK PLC;
 22 CITADEL ENTERPRISE AMERICAS, LLC;
 23 CITADEL SECURITIES LLC;
 24 MELVIN CAPITAL MANAGEMENT LP;
 25 SEQUOIA CAPITAL OPERATIONS LLC;
 26 APEX CLEARING CORPORATION;
 27 THE DEPOSITORY TRUST & CLEARING
 28 CORPORATION,

15 Defendants.

16 **DISCLOSURE STATEMENT**

17 Pursuant to Federal Rule of Civil Procedure 7.1, the undersigned counsel for Defendant
 18 Apex Clearing Corporation hereby certifies that Apex Clearing Holdings LLC and PEAK6
 19 Investments LLC are parent corporations of Apex Clearing Corporation. Apex Clearing
 20 Corporation further certifies that no publicly held corporation has a 10% or greater ownership
 21 interest in Apex Clearing Corporation.¹
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 27 ¹ Apex Clearing Corporation has not yet responded to the Complaint in this matter. In filing this
 28 Statement, Apex Clearing Corporation does not waive, and instead expressly preserves, all rights,
 privileges, immunities, affirmative defenses, and other defenses, including all defenses based
 upon the lack of personal jurisdiction over it.

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2 Dated: March 5, 2021
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Respectfully submitted,

By: /s/ Heather M. Burke
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Attorneys for Apex Clearing Corp.

CERTIFICATE OF SERVICE

I hereby certify that on March 5, 2021, the within document was filed with the Clerk of the Court using CM/ECF, which will send notification of such filing to the attorneys of record in this case.

Executed: March 5, 2021

/s/ Heather M. Burke

Heather M. Burke